



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

SECTOR 13

Applicant: Roland Valdes, Jr. et al.

Title: DIHYDROOUABAIN-LIKE FACTOR AND DIAGNOSTIC & THERAPEUTIC COMPOSITIONS  
AND METHODS

Docket No.: 1160.003US1

Filed: February 11, 2000

Examiner: Unknown

Serial No.: 09/503,559

Due Date: June 6, 2000

Group Art Unit: 1614

Attn: Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

We are transmitting herewith the attached:

- X A verified statement to establish small entity status under 37 C.F.R. 1.9 and 1.27.
- X A signed Combined Declaration and Power of Attorney ( 3 pgs.).
- X A check in the amount of \$65.00 to cover the Missing Parts Fee.
- X A check in the amount of \$549.00 to cover the Basic Filing Fee and Additional Claims Fee.
- X Form PTO-1533 (1pg.)
- X Communication Re: Missing Parts (1 pg.)
- X A return postcard.
- Other: \_\_\_\_.

Please charge any additional required fees or credit overpayment to Deposit Account No. 19-0743.

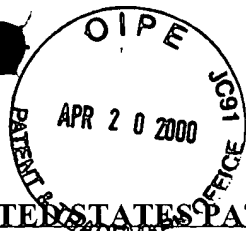
CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described above, are being deposited in the United States Postal Service, as first class mail, in an envelope addressed to: Attn: Box Missing Parts, Assistant Commissioner for Patents, Washington, D.C. 20231, on this 18 day of April, 2000.

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
P.O. Box 2938, Minneapolis, MN 55402 (612-373-6900)

By: Kathleen R. Terry  
Name: Kathleen R. Terry  
Reg. No. 31,884  
KRT:CMG:af

S/N 09/503,559

PATENT



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Roland Valdes, Jr. et al. Examiner: Unknown  
Serial No.: 09/503,559 Group Art Unit: 1614  
Filed: February 11, 2000 Docket: 1160.003US1  
Title: DIHYDROOUABAIN-LIKE FACTOR AND DIAGNOSTIC & THERAPEUTIC  
COMPOSITIONS AND METHODS

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**COMMUNICATION RE: MISSING PARTS**

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

In response to the "Notice to File Missing Parts" (see enclosed copy), we submit the signed Combined Declaration and Power of Attorney along with a check in the amount of \$65.00 to cover the small entity surcharge and a check in the amount of \$549.00 to cover the small entity basic filing fee.

Applicants assume the application is now in proper order and in condition for examination. Please direct any inquiries to the undersigned attorney at (612) 359-3271.

Respectfully submitted,

ROLAND VALDES, JR. ET AL.

By their Representatives,

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
P.O. Box 2938  
Minneapolis, MN 55402  
(612) 359-3271

Date

18 April 2001

By

Kathleen R. Terry

Kathleen R. Terry  
Reg. No. 31,884  
KRT:CMG:af

I hereby certify that this correspondence is being  
deposited with the United States Postal Service as first  
class mail in an envelope addressed to Assistant  
Commissioner of Patents, Washington, D.C. 20231.  
on 4/18/2001

Date of Deposit

Andrea Fotopoulos  
Andr

## FORMALITIES LETTER



\*OC000000005035024\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

H3

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/503,559	02/11/2000	Roland Valdes JR.	1160.033US1

21186  
SCHWEGMAN LUNDBERG WOESSNER & KLUTH  
P O BOX 2938  
MINNEAPOLIS, MN 55402

Date Mailed: 04/06/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$330.
  - \$252 for 14 total claims over 20.
  - \$78 for 1 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1150.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

04/24/2000 HBERHE 00000064 09503559

01 FC:201	
02 FC:203	345.00 OP
03 FC:202	126.00 OP
04 FC:299	39.00 OP
05 FC:205	39.00 OP
	65.00 OP



*Receipt*  
FILE COPY

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Roland Valdes, Jr. et al.

Title: DIHYDROOUABAIN-LIKE FACTOR AND DIAGNOSTIC & THERAPEUTIC COMPOSITIONS  
AND METHODS

Docket No.: 1160.003US1  
Filed: February 11, 2000  
Examiner: Unknown

Serial No.: 09/503,559  
Due Date: N/A  
Group Art Unit: 1614

Assistant Commissioner for Patents  
Washington, D.C. 20231

We are transmitting herewith the attached:

- X Communication Re: Incorrect Filing Receipt (1 pg.)
- X Copy of Filing Receipt (1 pg.)
- X A return postcard.
- Other: \_\_\_\_

No Additional fee is required.

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described above, are being deposited in the United States Postal Service, as first class mail, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on this 18 day of April, 2000.

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
P.O. Box 2938, Minneapolis, MN 55402 (612-373-6900)

By: Kathleen R. Terry  
Name: Kathleen R. Terry  
Reg. No. 31,884  
KRT:CMG:af

S/N 09/503,559

APR 20 2000

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Roland Valdes, Jr. et al. Examiner: Unknown  
Serial No.: 09/503,559 Group Art Unit: 1614  
Filed: February 11, 2000 Docket: 1160.003US1  
Title: DIHYDROOUABAIN-LIKE FACTOR AND DIAGNOSTIC & THERAPEUTIC  
COMPOSITIONS AND METHODS

**COMMUNICATION RE: INCORRECT FILING RECEIPT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Applicants hereby request correction of the Filing Receipt with respect to the above-identified patent application. In the Filing Receipt received April 10, 2000, (copy enclosed), the **Number of Independent Claims is incorrect**. The Filing Receipt reads, **4**, it should read, **5**. This is evidenced by the Application as filed on February 11, 2000 (copy not enclosed).

Applicants would appreciate the above-identified printing error be corrected and that a new "corrected" filing receipt be sent to Applicants' representatives at the address given below.

Respectfully submitted,

ROLAND VALDES, JR. ET AL.

By their Representatives,

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
P.O. Box 2938  
Minneapolis, MN 55402  
(612) 359-3271

Date

18 April 2000

By

Kathleen R. Terry

Kathleen R. Terry  
Reg. No. 31,884  
KRT:CMG:af

I hereby certify that this correspondence is being  
deposited with the United States Postal Service as first  
class mail in an envelope addressed to Assistant  
Commissioner of Patents, Washington, D.C. 20231,  
on 4/18/2000  
Date of Deposit

*[Signature]*

## FILING RECEIPT



\*OC00000005035023\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: ASSISTANT SECRETARY AND  
COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/503,559	02/11/2000	1614	0	<del>1160.033LIST</del>	-	34	4

21186  
SCHWEGMAN LUNDBERG WOESSNER & KLUTH  
P O BOX 2938  
MINNEAPOLIS, MN 55402



MAY 11, 2000 - IDS DUE  
NOV. 11, 2000 - 1 MO. CMT  
DEC. 26, 2000 - 10 1/2 MO. FF  
FEB. 11, 2001 - CONV. EXP.

Date Mailed: 04/06/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Roland Valdes JR., Simpsonville, KY ;  
Hassan M A M Qazzaz, Louisville, KY ;

## Continuing Data as Claimed by Applicant

THIS APPLN CLAIMS BENEFIT OF 60/119,921 02/12/1999

## Foreign Applications

If Required, Foreign Filing License Granted 04/06/2000

\*\*

## Title

Dihydroouabain-like factor and diagnostic &amp; therapeutic compositions and methods

## Preliminary Class

512

Data entry by : GARNETT, SANDRA

Team : OIPE

Date: 04/06/2000

Schwegman, Lundberg,  
Woessner & Kluth, P.A.

APR 10 2000

RECEIVED

4/6/00 11:51 AM



**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231